



Specification of requirement

Flooding and Capital Investment:
Research into the extent of community
involvement in flood prevention schemes

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1. Introduction

Citizens Advice Scotland is working with the support of the Scottish Flood Forum to conduct research into the extent of community involvement in flood prevention schemes.

About Citizens Advice Scotland

Citizens Advice Scotland (CAS), our 61 member Citizen Advice Bureaux (CAB), the Citizen Advice Consumer Service, and the Extra Help Unit, form Scotland's largest independent advice network. Advice provided by our service is free, independent, confidential, impartial and available to everyone. Our self-help website provides information on rights and helps people solve their problems.

In 2014-15 the Citizens Advice Service network helped over 323,000 clients in Scotland alone and dealt with over one million advice issues. With support from the network clients had financial gains of over £124 million and the Scottish zone of our self-help website received approximately 5.4 million unique page views.

The Scottish CAB network, which includes the telephone helpline Citizens Advice Direct, deliver frontline advice services through more than 200 service points across the country, from city centres to rural communities. This network of bureaux is staffed by a team of paid staff and nearly 2,500 volunteers.

In addition, the Citizens Advice Consumer Service provides a telephone helpline for those needing advice and information on consumer rights and helps to solve problems with consumer goods and services. CAS delivers part of this Great Britain wide service from a call centre in Stornoway, helping people in Scotland and across other parts of Great Britain.

The Extra Help Unit, through a team of telephone caseworkers based in Glasgow, also helps people throughout Great Britain who have complex energy or postal complaints or are at risk of having their gas or electricity cut off, who are referred through our consumer helpline, Ofgem, the Energy Ombudsman, or their local elected representative.

CAS' simple but robust vision is paramount to all our goals:

"A fairer Scotland where people as citizens and consumers are empowered and their rights respected."

To achieve our goals, all of CAS' work is guided by our twin aims:

- To ensure that individuals do not suffer through ignorance of their rights and responsibilities or of the services available; or through an inability to express their needs.
- To exercise a responsible influence on the development of social policies and services, both locally and nationally.

Together with Citizens Advice, our sister organisation in England and Wales, CAS has a statutory role to represent consumers across the essential regulated markets of energy, post and, for consumers living in Scotland, water.

About the Scottish Flood Forum

The role of the Scottish Flood Forum is to improve understanding and to raise awareness of the risks and consequences of flooding to individuals and communities throughout Scotland and to facilitate effective support to them after a flood event. In providing recovery support for communities that have been flooded, the SFF offers professional help and advice to resolve insurance claims, and addresses social issues including flood trauma support. This includes:

- Making regular visits to flooded properties to assess what is required to restore them.
- Supporting communities by establishing drop-in advice centres to provide recovery support to those who are affected by flooding and trying to cope with and understand the many issues that arise following a flood.
- Arranging assessments and visits to flood risk properties throughout Scotland.
- Working on and understanding the emotional and community impacts of flooding and providing appropriate support.
- Working closely with many different Local Authorities regarding flood protection advice and support to properties in their areas.
- Establishing community flood resilience groups throughout Scotland.
- Providing ongoing support to previously flooded and recovering properties (currently Aberdeen City, Moray, Highland, Perth and Kinross and Dumfries and Galloway.)
- Helping communities to identify flood risk vulnerability and to resolve issues that arise, especially concerns about insurance.

2. Background

Changing weather patterns such as a greater incidence of coastal storms and heavier rainfall over shorter periods have resulted in a higher risk of flooding. In Scotland, 1 in 22 homes and 1 in 13 non-domestic¹ properties are at risk of flooding, the impact of which can be devastating. Recovery from a flooding event can be a lengthy process and can be costly in terms of money and resources for both property owners and public bodies.

In 2009, the Flood Risk Management (Scotland) Act² was enacted. The Act introduced a more sustainable and modern approach to mitigating flood risk for the 21st century. It set out a framework for a more cooperative and coordinated approach between national and local government bodies to manage flood risk. In addition, it established SEPA as the lead agency and set out new responsibilities for Scottish Water and local authorities. Other organisations also recognised as having

¹ SEPA, National Flood Risk Assessment 2011

² <http://www.gov.scot/Topics/Environment/Water/Flooding/FRMAct>

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a role include Forestry Commission Scotland, Cairngorms National Park Authority and Loch Lomond and Trossachs National Park Authority.

Under the Act, specific duties for Scottish Water and local authorities include³:

Scottish Water

- Responsible for the drainage of surface water from roofs and paved ground surface within the property boundary
- Help to reduce the impact of flooding caused by overwhelmed or blocked sewers

Local authorities

- Provide flood defences and maintain water courses
- Clear and repair water courses to reduce flood risk
- Responsible for the drainage of public highways and local roads
- Work with emergency responders when flooding happens

Fourteen Local Flood Risk Management Strategies have been produced by SEPA, creating a national plan for Scotland. These set out the most sustainable combination of actions to address areas most at risk of flooding, and identify where intervention can deliver the most benefit.

Local Flood Risk Management (FRM) Plans will be published in 2016, by 14 identified lead local authorities in each Local Plan District, to turn Local Flood Risk Strategies into local delivery plans. Local FRM Plans will include delivery dates, funding options and local action plans over a six year period. They may also set out the need for delivering flood protection schemes.

Draft Flood Risk Management Plans must be made available to the public for inspection for a period of 3 months⁴. When they are completed, they must be made available to members of the public.

The Flood Prevention (Scotland) Act 1961 provided local authorities with discretionary powers to design and build flood prevention schemes. Such schemes have already been delivered in Scotland by public agencies, including Scottish Water, to introduce greater protection to areas at risk of flooding and include:

- Water of Leith
- Milnathort
- Stonehaven
- Galashiels
- Almondbank, Perth
- Whitesands, Dumfries
- Elgin
- Tillicoultry

However, as well as public bodies working to reduce the risk of flooding, property owners also have a responsibility to protect their properties.

³ SAIFF Frequently asked questions

⁴ Flood Risk Management (Scotland) Act 2009 Section 35 (3) (b)

Within flood affected communities, many flood action groups have formed to represent the wider needs of the community and to find ways of reducing the impact of flooding. There is a clear role for action groups to work with the public bodies responsible for flood risk management to ensure effective dialogue is maintained between community members and public body representatives. The Scottish Flood Forum⁵ has supported many communities to form action or flood resilience groups; these include Stonehaven Flood Action Group, Moffat Community Resilience Group, Dumfries and Galloway Flood Liaison Group.

Flood action groups have a role in helping their community to prepare for and mitigate flood risk. This may include⁶:

- raising concerns over malfunctioning assets
- being the first line of contact for plans for their community
- being kept informed of routine maintenance
- ensuring the community has a voice on flood risk through consultation.
- assigning members of the community to be 'flood watchers'
- ensuring the wider community is aware of flood risk
- preparing to reduce the impact on the community should a flood event occur

3. Defining the issue

Principles of community planning in Scotland aim to engage and empower community members to have a greater voice in the decisions that affect them. It also provides a framework through which key agencies can work together to ensure public services can be delivered in a more coordinated manner to simplify an often confusing landscape. It is unclear to what extent these principles have, to date, been applied to communities by public bodies when planning for flooding risk.

In the main, the development of most flood prevention schemes has taken place over the past 10 years in Scotland in response to more frequent and widespread flood events. However, while many flood risk communities have formed action groups, there is currently no available research in Scotland that explores the degree to which communities are engaged, consulted and provided with an opportunity to influence outcomes regarding flood risk management and the development of flood risk schemes.

4. Why research is necessary

In order to identify what has worked well in flood risk management and in the development of flood risk scheme, and the degree to which this has contributed directly to positive outcomes for both communities and public bodies, further research is necessary. Such research will also help to identify where there is further opportunity to improve engagement between communities and public bodies.

CAS is keen to better understand:

⁵ Scottish Flood Forum is a Scottish based Charitable Organisation, funded by the Scottish Government, that provides support for and represents those who are affected by or are at risk of flooding
<http://www.scottishfloodforum.org/>

⁶ National Flood Forum <http://www.nationalfloodforum.org.uk/>

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- what approaches to effective community engagement by public bodies constitutes best practice for flood risk communities,
- to what degree community engagement and involvement during the planning and design of a flood management scheme has influenced the final design of a flood management scheme,
- to what degree community involvement has improved the resilience of a community against future risk of flooding.
- how effective support from public bodies has been in helping communities better understand the realities of flood risk and how to mitigate flooding

5. Research objectives

The objectives of the research are to understand:

- how communities were engaged during the design and implementation of a flood prevention scheme (enablers/barriers),
- how effective community engagement by public bodies was felt to be by communities, and what it achieved,
- the degree to which community engagement by public bodies influenced the design and delivery of the flood prevention scheme,
- the degree to which the 'flood management journey' for community members and engagement between communities and public bodies has resulted in a more resilient community.

6. Impact of the research

The research will be published and will be used to inform policy development within the water industry and by other public body stakeholders. It is anticipated that the research will:

- Allow CAS to make specific recommendations to stakeholders, including Scottish Water, the Scottish Government, SEPA and local authorities on effective community engagement.
- Form part of CAS' ongoing policy development and advocacy work on community consultation, and communication.
- Be used to benefit consumers, including raising consumer awareness and education about managing flood risk.
- Inform industry stakeholders about consumer opinion and experience.
- Help to inform CAS' future work plan.

7. Sample group

Our primary target groups are:

1. Four Scottish public bodies (local authorities or Scottish Water) that have delivered a flood prevention scheme within a community
2. Four communities that have experienced the delivery of a flood prevention scheme.

8. Anticipated approach

The role of Citizens Advice Scotland:

- To fund and manage research
- To ensure delivery of research report to time, cost and quality

The role of the Scottish Flood Forum

- To facilitate contact with 4 suitable community flood resilience groups and help identify 4 public bodies (3 local authorities and 1 Scottish Water) and points of contact for interview. Research will target a range of flood prevention schemes: surface water / sewerage, river, etc.
- Support the process of identifying a suitable venue in the chosen location for focus groups. All logistics and bookings to be undertaken by the researcher.

This is exploratory research which we expect to be qualitative.

The researcher will:

1. Hold face to face interviews with local authority/Scottish Water representatives responsible for flood risk management to ask a pre-agreed series of questions set out within a topic guide.
2. Conduct focus groups with community members covering pre-agreed areas for discussion set out within a topic guide.

We believe that there will be distinct categories of questions:

Public Bodies		
Demographic questions	These questions will be used to establish, for example:	<ul style="list-style-type: none">• location of the scheme• profile of the area:<ul style="list-style-type: none">○ employment statistics of the area○ level of education (if degree level, what subject)○ number of homes○ number of non-domestic properties○ homeowner status○ dependents / vulnerability• ethnic origin

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<p>Initial understanding of the problem</p>	<p>These questions will be used to give some context to how the problem arose and how it was responded to. For example:</p>	<ul style="list-style-type: none"> • What caused the flood / floods? • When did it / they take place? • What was the extent of the flooding? • How severe was the flooding (1 in 20 years, 1 in 100 years, etc.)? • How many properties were affected? • How long did the flood affect the area? • Were any public services suspended during this time? • Were there any unique problems in the location affected by flooding that you had to address? • What steps did you take to better understand the issues around this particular flooding event?
<p>Decision Space</p>	<p>These questions will be appropriate to understand the thought process and motivations of the public body to choose a scheme:</p>	<ul style="list-style-type: none"> • What approach did you take to process the information you had on the flood? • What supplementary information did you secure? • Which additional agencies did you work with? • How long did you spend planning the flood alleviation scheme? • What problems arose during the planning phase? • How did you resolve these? • What activities were you involved in by way of community engagement: <ul style="list-style-type: none"> ○ Following the flooding ○ During the planning phase ○ During the delivery of the scheme • How effective has the scheme been? • Have you had to take further measures to reduce risk? • What difference did community engagement make to how you approached the design and delivery of the scheme? • Do you feel this was successful? • What else do you feel could have been done to improve community engagement / input?
<p>Follow up and review – post deliver</p>	<p>These questions will be appropriate to better understand the</p>	<ul style="list-style-type: none"> • What engagement do you have now with the community? • How often? • Why?

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	<p>degree of engagement between the public body and community following completion of a scheme. For example:</p>	
Communities		
<p>Community engagement and involvement</p>	<p>These questions will relate to the degree of community engagement by the public body and the extent to which they were involved in decision making. For example:</p>	<ul style="list-style-type: none"> • How were you affected by the flood? • How soon after the flood were you engaged by the public body? • How / where did this take place? • What did you want the public body to do? • Did you already have a flood action group? • When did you establish your flood action group? • Who is on your flood action group? • How did you organize yourselves within your group? • How were you engaged by the public body? • What supported / was a barrier to successful engagement between your group and the public body? • In what ways could engagement have been improved? • What other agencies did you engage with throughout the process? • Were you asked for your views on any aspect of the flood prevention scheme before and during design and implementation? • How were your needs as a community catered for during implementation? • Can you describe how your input to the public body influenced the outcomes i.e. the flood prevention scheme? • How effective do you feel the flood prevention scheme has been? • What continued engagement do you have with the public body? • What impact has flooding had on your

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		<p>members' home insurance?</p> <ul style="list-style-type: none">• To what extent has the flooding made securing home insurance affordable / accessible?• What action have you taken to respond to this?
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The research must be complete no later than Monday 31st March 2016.

9. Analysis required

Interviews will be transcribed and analysed.

Analysis will make reference to:

Profile of the flood prevention scheme areas.

We expect that the analysis will outline:

- any assumptions made by public bodies responding to flooding events in relation to community needs / priorities, and how accurate these are;
- how the response by the public body to the flooding is influenced by the profile of the area affected;
- a clearer idea of the immediate, intermediate and longer term effect of a flooding event on communities and their needs;
- a better understanding of what communities thought of how the public body responded to the event, and a better understanding of how this could be related to the severity of the flood;
- an understanding of what communities hoped to achieve from engagement with the public body and how successful they felt this was;
- an understanding of how effective engagement was between the public body and the community, and how engagement supported or was a barrier to the successful delivery of a flood prevention scheme;
- a better idea of what communities would consider to be best practice in community engagement and consultation;
- a clearer idea of how community engagement influenced the design or implementation of the flood prevention scheme;
- an understanding of whether the solutions hoped for by the community were delivered by the public body;
- an understanding of trends in characteristics of community members that form a flood action group.
- an understanding of the demographic characteristics of the flood action group and a 'gap analysis' of sections of the community under-represented
- an understanding of what works well and what does not work so well in setting up and running a local action group

10. Deliverables

- Draft copies of all key documents, such as the invitation to participate, the initial questionnaire, recruitment profile, the survey, final reports. These should be submitted in sufficient time for comments to be incorporated and for our approval to be given before producing final versions
- Completion of interview / focus group notes
- Initially, weekly telephone updates with CAS staff to report on progress, including an update on completion of the first interview and focus group to review the appropriateness of the questions asked, the rate of participation and any other operational issues.
- Top line findings (upon completion of the fieldwork) or an interim report as requested by CAS
- A full written high quality report (with any specific subheadings and recommendations agreed with CAS) in Microsoft Word setting out the findings with an executive summary and relevant appendices (including copies of survey questions/interview questions).
- Transcripts of qualitative research interviews.
- A presentation of results at CAS offices in Edinburgh with accompanying PowerPoint slides.

11. Nature of the Report

The research report will be used by a wide range of people within and outside of the Citizens Advice service, not just the team involved in commissioning the work.

Along with all of our research reports, it is intended to contribute to the wider knowledge of consumer behaviour and consumer concerns, not just to the immediate research problem. As such, it must be capable of being used as a secondary data source for a reasonable period of time after the research is completed.

For these reasons it is essential that the report:

- Uses language accessible to readers with varying experience of research and consumer behaviour.
- Contains a comprehensive description of the research method, so that the reader understands what was done and the robustness and/or limitations of the data.
- Organises and, where appropriate, reduces the data so as to lead the reader either to clear conclusions or to a discussion of the implications of the findings; clearly sets out policy issues.
- Avoids over-summarising or over-simplifying the findings.

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- Contains clearly labelled charts, diagrams and tables (if appropriate) summarising and illustrating the results, with a narrative description of what the chart, diagram or table shows – do not leave it to the reader to interpret these.
- Sets out high level policy clearly, linking it to conclusions drawn from findings, and avoiding overly simplified analysis within the body of the report.
- Contains a stand-alone Executive Summary, containing a brief description of the background, objectives, method, main findings and conclusions. Production of a separate, briefing-style paper should also be considered.

Agencies are required to follow best practice in research report writing as specified in the Citizen Advice Research Report Guidelines.

12. Performance and quality requirements

CAS is leading this work, and will require regular meetings, including a project initiation meeting. CAS shall provide a schedule of meetings to be held between the supplier and CAS to ensure progress is on track and any difficulties are resolved promptly. Any anticipated shortfall in quality or similar failing shall be brought to the attention of CAS immediately.

We advise suppliers to show how they adhere to the MRS Code of Conduct or where appropriate any other professional code of conduct, or quality systems that they have in place.

Ownership of all research outcomes, including the final report and all data produced as a result of the research lies is held by CAS.

Suppliers should not discuss study findings in public without prior, written agreement from CAS. Suppliers must also obtain CAS's prior, written approval to use data or findings from this study for any proposed presentation or publication.

The supplier should consider the wide range of equalities issues, including public duties, and ensure that these are all given due consideration at all stages of the research process.

13. Evaluation criteria

CAS will make its selection on the basis of that proposal which represents the best value for money. The following criteria will apply:

Evaluation criterion	Description	Weighting
Methodology / Approach	<p>Details and suitability of suggested approach, sampling strategy and data collection method</p> <p>Plans for dealing with any risks and contingencies</p> <p>Statement of ethical considerations and data handling/storage procedures</p>	20%
Implementation plan	<p>Details of your implementation plan to meet the timescales, including staffing and resources</p>	10%
Technical experience	<p>Evidence of providing similar services to other organisations and particular skills/experience relevant to the problem</p> <p>Also includes your performance on previous projects for Consumer Futures and its predecessor bodies and for CAS</p>	10%
Understanding our business needs	<p>Indication of a clear understanding of the problem and the research objectives</p>	10%
Staffing / Resources	<p>Details of any proposed staff or sub-contractors to be used for the provision of the services</p>	10%

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Quality	Details of how you ensure that a high quality service is maintained throughout the contract period	10%
Price	A full breakdown of all costs should be given	30%
Total		100%

Tenders are evaluated by scoring against each of the above criteria using a 0-10 scale, where 0=Clearly fails to meet the requirement and 10=Excellent standard with no reservation at all about acceptability. The supplier with the highest overall score will be awarded the contract.

Please note that on completion of all contracts, suppliers are evaluated against these same criteria based on their performance. This post-project feedback will be considered in future tendering processes.

14. Form of proposal

All clarification questions must be made in writing and sent by email to gail.walker@cas.org.uk no later than Monday 6 January 2016. A response to all clarification questions shall be issued to suppliers by Wednesday 8 January 2016.

Tenders must be sent to the project lead Gail Walker by 5pm on Wednesday 13 January 2016.

Bidders should complete tenders in the format indicated below. All questions must be answered in full.

Company overview and previous experience

- Please provide a brief overview of your organisation. This must include a brief history and include detail of your capability and capacity.
- Please provide detail of your understanding of the requirement and evidence your skills and experience for carrying out the services.
- Please provide brief details of two case studies that evidence your ability to deliver the services required. This must include details of the remit of the research project from which the case studies are taken, how you delivered the project, and the objectives that were achieved.
- Please provide the names, addresses, and contact details of two referees that could be contacted to provide a reference of your ability to deliver the services.
- Please declare if there is a conflict of interest in carrying out this work.
- Please provide details of any relevant professional and/or personal liability insurance held by your organisation

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Key personnel

- Please provide a copy of your organisational chart.
- Please provide details of the key personnel who shall be responsible for the delivery of the services and for liaising with CAS. This must include a CV for those individuals that highlight their relevant skills and experience.
- Please also provide a previous report you have published that sets out the quality of writing we can expect you to deliver.

Methodology and delivery of the services

- Please provide a detailed methodology of how you propose to deliver the services and objectives detailed in this document. This methodology must describe the project from end-to-end; from finalising the conception to delivery of the final report. Mention should be made of ethical considerations and data handling/storage procedures.
- Please provide a detailed project plan for the delivery of the proposed methodology. This must clearly define who shall carry out the tasks in the plan and the number of days for completion.

Commercial offer

- Prices shall be quoted in pounds sterling unless otherwise stated and presented separately from the rest of the tender in the downloadable pricing schedule. Prices should be quoted as inclusive of VAT, and VAT should be shown separately as a strictly net extra charge. Please detail any other costs associated with the provision of the services under this agreement. Any costs not detailed will be deemed to have been waived.
- Attached as part of the tender documents are the Citizens Advice Scotland Terms & Conditions of contract. Please confirm your acceptance to the terms. Bidders should note that failure to accept the Citizens Advice Scotland Terms & Conditions of contract will result in their elimination from the tender process following initial evaluation.
- The Pricing Schedule attached below should also be completed, and returned with the tender document.

14. Procurement timetable

CAS will be working towards the following procurement timetable:

Activity	Date
Issue Invitation to *Tender/Quote	16 December 2015
Closing date for clarification questions	6 January 2016
Date for responses to clarification questions	8 January 2016
Tenders/quotes received	13 January 2016
Evaluation of tenders/quotes	15 January 2016
Contract awarded	18 January 2016
Contract commences	19 January 2016
Top Line Document OR Interim Report	1 March 2016
Draft report due	15 March 2016
Final report due	31 March 2016

GLOSSARY OF TERMS AND ABBREVIATIONS

<i>Term</i>	<i>Description</i>
Draft Report	The 'draft report' should not be a rough version of the report, but the full report (proof-read, spell-checked and sense-checked) for review by the client project team.
Final Report	The final report is intended to have resolved all queries and comments.

PRICING SCHEDULE



Flooding and Capital Investment: Research into the extent of community involvement in flood prevention schemes

Pricing schedule Service

price quotation *Table 1:*

Key personnel

Role Title	Role Level	Other Descriptions (T&S etc.)	No. of Days Required	Daily Rate £	Total Price £
VAT					
Totals					

Table 2: Other costs (If Applicable)

Other Descriptions	Item Quantity	Item Price £	Total Price £
VAT			
Totals			

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Total Price – Table 1 and 2

	Total Price £
Table 1	
Table 2	
Total VAT	
Total incl. VAT	
Total Price	

All service price quotes must be in GBP. VAT, where applicable, should be shown separately as a strictly net extra charge. The price quoted must be fully inclusive of everything indicated by the Invitation to Tender documents such as supply, delivery, expenses and where applicable, support.

Dated this day of 2016

Signature: _____ Full